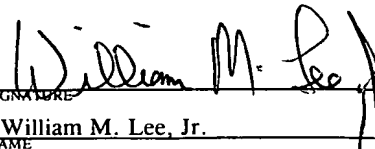


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| FORM PTO-1390 (REV. 5-93) | | U.S. DEPT. OF COMMERCE PATENT AND TRADEMARK OFFICE | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER 670-002 | |
| U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) 09/530023 | | | |
| INTERNATIONAL APPLICATION NO. PCT/GB98/03142 | INTERNATIONAL FILING DATE October 22, 1998 | PRIORITY DATE CLAIMED October 22, 1997 | |
| TITLE OF INVENTION Field Emission Devices | | | |
| APPLICANT(S) FOR DO/EO/US Richard Allen Tuck and Peter Graham Adpar Jones | | | |
| <p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 37 U.S.C. 371(b) and PCT Articles 22 and 39(1). 4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <p>Items 11. to 16. below concern other document(s) or information included:</p> <ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 14. <input type="checkbox"/> A substitute specification. 15. <input type="checkbox"/> A change of power of attorney and/or address letter. 16. <input type="checkbox"/> Other items or information: | | | |

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|---|--------------|--------------|------------|--|--|--------------------------------------|--|
| U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.50) 09/530023 | | | | INTERNATIONAL APPLICATION NO. PCT/GB98/03142 | | ATP'S DOCKET NUMBER 678002 | |
| 17. <input checked="" type="checkbox"/> The following fees are submitted: Basic National Fee 37 CFR 1.492(a)(1)-(5)): Search Report has been prepared by the EPO or JPO \$840.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) . \$670.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$760.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$970.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$96.00 | | | | CALCULATIONS | | PTO USE ONLY | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$840 | | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <u> 20 </u> <u> 30 </u> months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | ----- | | | |
| Claims | Number Filed | Number Extra | Rate | | | | |
| <input checked="" type="checkbox"/> Total Claims | 15 - 20 = | 0 | X \$18.00 | 0 | | | |
| <input checked="" type="checkbox"/> Independent Claims | 1 - 3 = | 0 | X \$78.00 | 0 | | | |
| <input checked="" type="checkbox"/> Multiple dependent claim(s) (if applicable) | | | + \$260.00 | 0 | | | |
| TOTAL OF ABOVE CALCULATIONS = | | | | 840 | | | |
| <input checked="" type="checkbox"/> Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28). | | | | 420 | | | |
| SUBTOTAL = | | | | 420 | | | |
| <input checked="" type="checkbox"/> Processing fee of \$130.00 for furnishing the English translation later than <u> 20 </u> <u> 30 </u> months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | ----- | | | |
| TOTAL NATIONAL FEE = | | | | 420 | | | |
| <input checked="" type="checkbox"/> Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | 40 | | | |
| TOTAL FEES ENCLOSED = | | | | 460 | | | |
| | | | | Amount to be refunded: | | | |
| | | | | Charged | | | |
| a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>460</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. <u>12-0913</u> in the amount of \$ <u> </u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>12-0913</u> . A duplicate copy of this sheet is enclosed. | | | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | | | |
| SEND ALL CORRESPONDENCE TO: William M. Lee, Jr. Lee, Mann, Smith, McWilliams, Sweeney & Ohlson P.O. Box 2786 Chicago, Illinois 60690-2786 (312) 368-1300 | | | | | | | |
| | | | | <div style="text-align: right;">  SIGNATURE William M. Lee, Jr. NAME 26,935 REGISTRATION NUMBER </div> | | | |

CASE NO. 670-1002

Stanley

529 Re PCT/PTO 21 APR 2000

Please acknowledge receipt of the enclosed:

New Patent Application of:
Richard Allan Tuck et al.

09/530023

United States Patent Application For:
Field Emission Devices

SERIAL NO: TO BE ASSIGNED

FILING DATE: HEREWITH

1. PCT Transmittal Letter in duplicate
2. Amendment Accompanying Application
3. Assignment Transmittal and Assignment
4. Declaration and Power of Attorney
5. Verified Statement Claiming Small Entity Status
6. Check No. 39588 in the amount of \$460.00
7. Certificate of EXPRESS MAIL.
8. Return Post Card.

DATE SENT: April 21, 2000

WJR:lmb

"Express Mail" mailing label number

EL 388 802 965 US

Date of deposit: April 21, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Mattie M. Phillips

(Typed or printed name of person mailing paper or fee)

Mattie M. Phillips

(Signature of person mailing paper or fee)